

6 July 1981

MEMORANDUM FOR: Chief, Records Management Division

STAT FROM:
Chief, Classification Review Division

SUBJECT: Material Found in Jobs 79S01011A and 79R01012A,
National Intelligence Estimates

1. The Intelligence Branch of this division is currently reviewing subject jobs and finds that each folder contains, in addition to the published SIE, SE, NIE, or SNIE, several copies of the various drafts as well as contributions from other agencies. We understand that this related material was retained as a "case file" on the production of the estimate under item 19a (1) of the record schedule.

2. Admittedly, the collection of drafts and contributions show, to some degree, the evolution of the estimate. Much of the evolution, however, was hammered out verbally at the committee meetings, so the drafts, at best, tell only part of the story. The published estimate itself contains the essentials of the process; it contains a statement concerning which agencies participated in the drafting, which ones concurred with the final draft, and which ones dissented -- including footnotes as to the nature of that dissent.

3. CRD feels that this related material is superfluous and should be designated as temporary. Our review officers have arrived at this opinion after reading five years of estimate files. It is, therefore, an opinion based on considerable study and thought by a group of experienced analysts accustomed to judging the value of information from both the historical and intelligence perspective.

4. We recommend (1) that the "case file" collection be separated from the published estimates, (2) that the estimates continue to be designated as permanent, and (3) that the "case files" be reappraised and designated as temporary with 30- to 50-year retention period. Page 23 of the handbook on Disposition of Federal Records indicates that case files are seldom retained in their entirety, but rather on a selective basis. CRD could assist with the selection of those case files that were either illustrative of the estimating process or involved a particularly important area or subject. These could remain in the permanent holdings along with the published estimate.

5. If this reappraisal could be accomplished, the space occupied by these two jobs would be reduced to about 25% of the present storage space. Future retirements would take up proportionately reduced space, and we would have record groups that focus more accurately on material of real permanence. CRD officers would be happy to help in reconfiguring these files and in making the necessary corrections to the shelf list.



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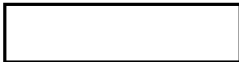


TABLE 4 — PERMANENT RECORDS APPRAISAL GUIDELINES

The generic series descriptions listed below illustrate the types of records normally appraised for permanent retention by NARS. Because of the wide variety of records created in the Federal Government and the complex nature of the appraisal process, this list cannot detail every type of series that may be appraised for retention. In addition, the list applies only to current records whose life cycle has been carefully controlled. Somewhat different standards apply to records created in earlier periods of our history when the maintenance and disposition of Federal records were not as closely regulated. Because many important 19th-century records were inadvertently destroyed by fire, flood, and general neglect, routine administrative and housekeeping records are often preserved for this period to show the functions of the Federal Government.

1. General Subject Files Documenting Substantive Agency Programs.

Correspondence with other Federal agencies, Members of Congress and congressional committees, the Executive Office of the President, the President, private organizations and individuals, internal agency memorandums, narrative and statistical reports, budget estimates and justifications, and a variety of other records concerning all substantive and distinctive programs of the agency. These series represent the basic system of records documenting the evolution of major policies and procedures and are frequently designated for permanent retention when created at the following levels: secretary; under secretary; deputy secretary; assistant secretary; administrators, chairpersons, commissioners, and directors of administrations, bureaus, and services within a department; and heads of independent Federal agencies and their chief assistants. When the agency's important programs are not documented in program correspondence maintained at these higher levels, similar records created at lower levels must be designated for preservation. The number of series selected from a given agency will depend on the degree of duplication evidenced by comparisons among files created at the various administrative levels. Where substantial duplication does exist, the file created at the highest level will be chosen. Where little or no duplication exists, series at all levels will be taken and in some cases at levels lower than those indicated above.

2. Selected Case Files.

Many Federal records are created in the form of case files. These records may include correspondence, memorandums, periodic narrative reports, and similar materials which relate to a specific action, event, person, place, project, or other subject and provide complete documentation of an agency's activities from initiation to conclusion. Although most case file series are disposable at some future date, a

complete set or occasionally may be designated for permanent retention, particularly when the files have been captured in machine-readable form. More frequently, however, only a portion of a case file series is selected for transfer to the National Archives. Those chosen normally fall under one or more of the following categories. The case:

- a. Established a precedent and therefore resulted in a major policy or procedural change;
- b. Was involved in extensive litigation;
- c. Received widespread attention from the news media;
- d. Was widely recognized for its uniqueness by established authorities outside the Government;
- e. Was reviewed at length in the agency's annual report to the Congress; or
- f. Was selected to document agency procedures rather than to capture information relating to the subject of the individual file

Categories a through e establish the exceptional nature of a particular case file while category f relates to routine files chosen because they exemplify the policies and procedures of the creating agency. The types of case files selected for permanent retention under the criteria established above include, but are not limited to, research grants awarded for studies; research and development projects; investigative, enforcement, and litigation case files; social service and welfare case files; labor relations case files; case files related to the development of natural resources and the preservation of historic studies; public works case files; and Federal court case files.

3. Analytical Reports.

Analytical research studies and periodic reports prepared by the agency or by a private organization or individual under contract to the agency or in receipt of a grant from the agency. Studies and reports selected for permanent retention may be statistical, narrative, machine-readable or audiovisual in nature. Regional reports prepared by field offices and forwarded to the agency's headquarters are frequently selected because they contain information relating to ethnic, social, economic, or other aspects of specific geographical locations. Excluded from selection are studies and reports which are published and therefore widely available in public libraries, as well as recurring periodic reports which are summarized on an annual basis. (See item 13 for publications permanently retained.) In some instances, only selected studies and reports are maintained for future research.

4. Formal Minutes of Boards and Commissions.

Minutes of meetings of boards and commissions of Federal agencies documenting substantive policy and procedural decisions. Frequently, the executive direction of a Federal agency is provided by a board or commission rather